

Course No. 1419

Compliance Governance & Regulatory Frameworks Training Course

COMPLIANCE, AML & FINANCIAL CRIME
FINANCE, INVESTMENT & BANKING

DURATION

5 Days

DELIVERY

Classroom



Course Overview

In today's highly regulated business environment, organizations face increasing pressure to comply with evolving laws, regulations, industry standards, and stakeholder expectations. As regulatory requirements become more complex across industries and jurisdictions, organizations must establish robust compliance governance structures and regulatory frameworks that support accountability, transparency, risk management, and sustainable business performance.

The Compliance Governance & Regulatory Frameworks Training Course is designed to provide participants with a comprehensive understanding of how effective compliance governance contributes to organizational resilience, regulatory adherence, and sound corporate decision-making. The course examines the critical relationship between governance, compliance, risk management, internal controls, and organizational strategy, enabling participants to develop integrated approaches that strengthen regulatory compliance across the enterprise.

Effective compliance governance extends beyond meeting legal obligations. It supports ethical conduct, enhances stakeholder confidence, protects organizational reputation, and enables organizations to proactively identify and address compliance risks before they escalate into significant operational or regulatory challenges. Organizations that successfully embed compliance into their governance structures are better positioned to achieve long-term strategic objectives while maintaining regulatory integrity.

This course explores the design, implementation, monitoring, and continuous improvement of compliance governance frameworks. Participants will gain practical insights into regulatory oversight, policy development, compliance monitoring, reporting mechanisms, accountability structures, and the role of leadership in promoting a culture of compliance throughout the organization.

Through practical case studies, interactive discussions, governance assessments, and implementation-focused workshops, participants will develop the knowledge and tools required to strengthen compliance governance practices and establish effective regulatory frameworks that align with international standards and organizational priorities.

Objectives

- Analyze the relationship between governance, compliance, risk management, and organizational performance.
- Evaluate existing compliance governance structures and identify opportunities for improvement.
- Apply internationally recognized governance principles to strengthen regulatory compliance programs.
- Develop effective compliance policies, procedures, and governance frameworks.
- Design clear accountability and oversight structures for compliance management.
- Implement compliance monitoring and reporting mechanisms that support regulatory adherence.
- Assess regulatory and compliance risks affecting organizational operations and objectives.
- Improve coordination between compliance, risk, audit, legal, and operational functions.
- Strengthen organizational compliance culture through governance and leadership practices.
- Align compliance governance frameworks with strategic objectives and regulatory expectations.
- Develop performance indicators and compliance metrics to measure program effectiveness.
- Evaluate organizational readiness to respond to emerging regulatory developments and compliance challenges.

Who Should Attend

This course is designed for compliance officers, governance professionals, regulatory affairs specialists, risk managers, internal auditors, legal advisors, policy managers, ethics and integrity professionals, and individuals responsible for regulatory compliance within their organizations.

The program is particularly beneficial for executives, board members, senior managers, department heads, compliance committee members, control function leaders, and decision makers who oversee governance, compliance, risk management, internal control, and regulatory affairs activities.

It is also highly relevant for professionals working in government entities, ministries, regulatory authorities, public sector organizations, banks and financial institutions, oil and gas companies, multinational corporations, and large enterprises seeking to strengthen governance practices and ensure effective regulatory compliance across all levels of the organization.

Learning Outcomes

- By the end of this course, participants will be able to:
- Explain the principles and foundations of compliance governance and regulatory frameworks.
- Assess the effectiveness of organizational compliance governance structures.
- Develop governance models that support regulatory compliance and accountability.
- Design policies and procedures aligned with regulatory and organizational requirements.
- Identify and evaluate regulatory and compliance risks across business operations.
- Establish monitoring, reporting, and escalation mechanisms for compliance oversight.
- Define roles, responsibilities, and accountability within compliance governance structures.
- Develop compliance performance indicators and governance reporting tools.
- Integrate compliance governance with enterprise risk management and internal control systems.
- Support leadership decision-making through effective compliance oversight practices.
- Create strategies to strengthen compliance culture throughout the organization.
- Develop action plans for enhancing compliance governance maturity and effectiveness.

Course Outline

DAY 01

Foundations of Compliance Governance and Regulatory Frameworks

- Principles of compliance governance and regulatory oversight
- The evolving regulatory environment and compliance expectations
- Governance structures and accountability mechanisms
- The relationship between governance, compliance, risk, and control functions

PRACTICAL DISCUSSION

Key compliance governance challenges across industries

DAY 02

Designing Effective Compliance Governance Frameworks

- Components of a compliance governance framework
- Roles and responsibilities of boards, executives, and compliance functions
- Developing compliance policies and procedures
- Governance models for regulatory compliance management

PRACTICAL APPLICATION

Building a compliance governance framework

DAY 03

Regulatory Risk Management and Internal Controls

- Identifying and assessing regulatory risks
- Integrating compliance into enterprise risk management
- Internal controls and compliance assurance mechanisms
- Compliance risk monitoring and mitigation strategies

PRACTICAL WORKSHOP

Regulatory risk assessment and control evaluation

DAY 04

Compliance Monitoring, Reporting, and Organizational Culture

- Compliance monitoring methodologies and tools
- Compliance reporting and escalation processes
- Key compliance indicators and performance measurement
- Building and sustaining a culture of compliance

PRACTICAL EXERCISE

Developing compliance reporting dashboards

DAY 05

Enhancing Compliance Governance and Regulatory Readiness

- Continuous improvement of compliance governance programs
- Managing regulatory change and emerging compliance requirements
- International best practices in compliance governance
- Developing strategic compliance governance roadmaps

FINAL WORKSHOP

Creating an organizational compliance governance improvement plan

Register or Request More Information

Course page: <https://quest-training.com/courses/compliance-governance-regulatory-frameworks-training-course>

Website: <https://quest-training.com>

Email: info@quest-training.com

Phone: +905016771440